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Letter dated 26 March 1999 from the Permanent Representative of Australia to the United Nations addressed to the Secretary-General

I have the honour to transmit to you an executive summary of the report entitled "International forest conservation: protected areas and beyond", which was prepared by Australia in support of the Intergovernmental Forum on Forests (IFF).

At the first session of IFF, in September 1997, Australia proposed the inclusion of forest conservation and protected areas in the work areas of IFF. Subsequently, Australia commenced an initiative to develop a paper on forest conservation and protected areas for the purpose of informing discussions on this matter at the third session of IFF. Following an international workshop on this issue held at Canberra from 8 to 10 September 1998, a draft paper was circulated internationally for comment in December 1998. The paper has now been finalized as the above-mentioned report, taking into account comments received.

The report contains a set of 13 proposals for action for consideration by IFF at its third session. I believe that these proposals present a practical and forward-looking agenda for international action on forest conservation and commend the report for consideration by IFF.

I should be grateful if you could have the text of this letter and the attached executive summary of the report circulated as a document of the third session of the Intergovernmental Forum on Forests. Copies of the full report will be made available to all members and observers at the meeting itself.

(*Signed*) Penny **Wensley**
Permanent Representative

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INTERNATIONAL FOREST CONSERVATION: PROTECTED AREAS AND BEYOND

EXECUTIVE SUMMARY

Forests have many values and are under many pressures. Whilst the world community and individual countries have responded to these pressures in a variety of ways, the responses share a common emphasis on forest conservation and sustainable forest management. This paper considers forest conservation and sustainable forest management to be complementary, interdependent and inseparable themes. It is widely accepted by the international community and individual countries that forest conservation and sustainable forest management should together aim to protect and sustain the full range of forest values - including biological diversity, ecosystem health, environmental services, and the cultural, social and economic values of forests.

Throughout history, societies have developed many approaches to protecting forest values. Since the world 's first national park, Yellowstone in the United States, was declared in 1872, the concept of protected areas has emerged as a key element of national and international strategies to protect forest values. Protected areas now make a fundamental contribution to the conservation of the world's natural and cultural resources. Around 8 per cent of the world's forests are currently within protected areas, but the representation of particular forest ecosystems varies widely. The effectiveness of these protected areas in achieving conservation goals also varies widely.

Over the last few decades, there has been a growing acknowledgment that forest conservation goals can only be met through integrated strategies which include but are not limited to protected areas. This broader vision for forest conservation is one in which forest conservation strategies are more diverse but also more integrated, more broadly based and more inclusive, and consequently more effective in achieving forest conservation goals

BROADENING OUR VISION OF FOREST CONSERVATION

The broader vision for forest conservation recognises that protected areas are the cornerstone of conservation strategies. It also recognises that protected areas are seldom, if ever, adequate to achieve conservation goals in isolation from the complementary management of other forests, and that we need to develop integrated forest conservation strategies which incorporate but are not limited to protected areas. It recognises that simply setting targets for the number or extent of protected areas is insufficient to achieve conservation goals, and that effective management for conservation is critical to the success of forest conservation efforts. The broader vision for forest conservation recognises that achieving and sustaining forest conservation also requires the integration of social and economic goals into conservation planning processes. It therefore recognises the development of more collaborative participatory modes of conservation planning and management as essential to achieving and sustaining forest conservation goals.

The broader vision for forest conservation envisages conservation goals being attained by cumulative contributions from many sources - a continuum of contributions from across the forest landscape. Protected areas are important mechanisms for providing some of this contribution, but other important and sometimes irreplaceable contributions will come from forests conserved on private lands, from other forests such as community and sacred forests, and from forests managed under sustainable forest management regimes. Consequently, the constituency for forest conservation is broadened - to include, for example, private forest owners, local authorities, indigenous and local communities, commercial forest managers and workers, forest-based industries and other industries requiring access to forested land - all of whom can contribute to conservation goals in complementary and mutually supportive ways.

The integrated strategies necessary to deliver the broader vision for forest conservation share a number of common features, recognising:

- the diversity of forest values and benefits, and the complex relationships between achievement of conservation and sustainable development goals
- that different situations will require different strategies to achieve forest conservation goals

- that protected areas have a key role in achieving conservation goals, but are not the only means of achieving forest conservation goals
- that forests outside protected areas also have a key role in contributing to the achievement of conservation goals
- the importance of policies, institutional arrangements and adequate resources to support the achievement of forest conservation goals
- the role of management systems and processes in meeting forest conservation and sustainable management goals
- the power of partnerships between interested parties to achieve and sustain conservation goals, and
- the value of bioregional conservation planning processes which recognise and accommodate the issues identified in the preceding points.

A SUPPORTIVE POLICY ENVIRONMENT

Realising the broader vision for forest conservation requires a supportive policy environment - at all scales, from global to local, and across all sectors of society. Political and societal commitment to forest conservation, in the broader context of sustainable development, are essential for successful forest conservation. The policy commitments required are not just to forest conservation and sustainable forest management - although these are necessary - but to policy development across all sectors which is cognisant of the implications for forest conservation.

Overcoming policy failure is a prerequisite for forest conservation efforts to succeed. It is generally acknowledged that many of the underlying causes of forest loss and degradation are external to the forest sector, and that these must be addressed if forest conservation efforts are to succeed. However, there are also many policy failures within the forest sector, and poor implementation by forests and conservation agencies. In particular, the policies and programs of forest management and conservation agencies are often poorly coordinated, and poorly linked to the contributions other parties can make to forest conservation. Both the international community and individual countries can advance forest conservation by addressing the failures in policy regimes at international, national and sub-national levels. All levels of government have complementary and mutually supportive roles to play in achieving forest conservation goals.

RESOURCES TO SUPPORT FOREST CONSERVATION

Resources for forest conservation are usually limiting, often severely so. Consequent institutional weaknesses impact heavily on the achievement of forest conservation goals, and many protected area have been reduced to little more than 'paper parks'. Additional financial resources, institutional strengthening, capacity building and technology transfer are all necessary to support forest conservation initiatives. Issues of resource provision for forest conservation and sustainable use include:

- the level of resource provision necessary to achieve and sustain forest conservation goals - including the establishment and management of protected areas and other mechanisms for protection, and the implementation of sustainable forest management regimes
- the appropriate contributions of different stakeholders to the resources required for forest conservation and protected area management
- the distribution of these resources amongst those parties responsible for forest conservation and protected area management
- the fair and equitable sharing of benefits and costs, and
- the enhancement of mechanisms at both international and national levels for capacity building, information exchange, technology transfer, and monitoring and reporting in support of agreed conservation goals.

A variety of financial instruments and mechanisms, operating at both international and national levels, and involving both the public and private sectors, can help generate the resources necessary to support forest conservation. Developing market arrangements which work in favour of forest conservation is central to securing adequate resources for forest conservation. A diversity of such arrangements, both traditional and

emerging, can generate resources for forest conservation. Conservation trust funds, of which the Global Environment Facility is one example, have proved particularly effective in many circumstances. New mechanisms, such as tradeable conservation credits or the Clean Development Mechanism and Joint Implementation activities of the Kyoto Protocol, represent promising means of directing resources to forest conservation.

PARTNERSHIPS TO SUPPORT FOREST CONSERVATION

Partnerships between all those with interests in forest conservation are a foundation of the broader vision for forest conservation. Interested parties include, variously, the international, national and local communities; governments at various levels; non-government organisations; the private sector; and forest owners and users, including indigenous peoples, local communities and forest workers. Partnerships can improve conservation outcomes from all forests - those in protected areas, those managed for production, and other forests under private and community ownership. Transboundary partnerships are particularly important in many situations.

Because many civil society actors have an interest in forest conservation, many forms of partnership are possible in support of forest conservation goals. A variety of partnerships - operating at different scales and levels - will be necessary to address different challenges to, and take advantage of different opportunities for, forest conservation. Developing partnerships for forest conservation to their full potential requires a willingness on the part of government to devolve authority to other actors willing to assume it, whilst retaining sufficient interest and influence to ensure that the public interest is respected, and providing sufficient resources to support devolved responsibilities.

INTEGRATED STRATEGIES FOR FOREST CONSERVATION

In most countries, protected areas and forests protected by other reservation mechanisms will comprise only a minority of the forest area. An effective conservation strategy will recognise and capitalise on the complementary roles of forests within and outside protected areas. The particular forest conservation strategy adopted by a country will reflect its individual circumstances - particularly its pattern of land tenure, its forest history and land use, and its cultural values and political processes. The challenge is to develop integrated conservation strategies that afford adequate and sustained protection to forest values through the most appropriate mechanisms for each nations circumstances: a network of protected areas, other mechanisms for protection, and the complementary sustainable management of forests outside protected areas.

Developing and implementing successful forest conservation strategies depends on conservation planning processes which recognise environmental, economic and social values. These conservation planning processes are based on a number of principles:

- they should incorporate explicit social, economic and environmental goals
- they accept that our knowledge of forest values is incomplete and adopt methods for making the most of what we do know
- explicit and transparent processes for involving all stakeholders are a critical part of effective conservation planning and implementation
- information should be provided to stakeholders in a form which is culturally appropriate and maximises their opportunities for engagement, and
- the negotiation and agreement process to develop the integrated forest conservation strategy should be designed to explore a wide range of land use and conservation management options, to identify the least cost option which best meets all goals.

The best geographic basis for conservation planning is a 'bioregion', which is defined by ecosystem rather than cadastral boundaries but recognises the practical limitations imposed by existing administrative boundaries. The development of integrated forest conservation strategies on a bioregional basis is consistent with the ecosystem approach endorsed by the Conference of Parties to the Convention on Biological Diversity.

Conservation planning tools have been developed to facilitate the conservation planning process and maximise the achievement of forest conservation goals at minimum opportunity cost. These tools are widely applicable and adaptable to different levels of data and technology.

IMPLEMENTATION, MONITORING AND REVIEW

The development and implementation of management systems and processes which protect forest values are issues for forests both within and outside protected areas. The development of sustainable forest management regimes incorporating criteria and indicators and mechanisms to regulate forest practices within environmental management systems can assist those responsible for sustainable forest management. A process for monitoring and reviewing the effectiveness of protected area management can similarly assist protected area managers. All management for forest conservation needs to be adaptive, with the capacity for continuous improvement based on information from monitoring and review processes. It will generally be necessary to review the effectiveness of existing protected area systems within the broader context of the development of an integrated forest conservation strategy.

CONCLUSIONS

This paper articulates a broader vision for forest conservation. This broader vision is founded on integrated strategies for forest conservation, that include but are not limited to protected areas. It recognises the need to integrate the sustainable management of protected areas and other forested land to jointly conserve the full range of forest values. Achieving the broader vision for forest conservation requires a supportive policy environment, adequate human and financial resources, partnerships for forest conservation, appropriate conservation planning processes, and adaptive management of all forests.

A set of 13 proposals for action at all levels from international to local is presented for consideration.

PROPOSALS FOR ACTION

COMMITMENT TO FOREST CONSERVATION

1. The international community and countries articulate a specific commitment to the goal of conservation of the full range of forest values of all forest types, and develop and implement policies and programs to achieve this goal, recognising that this can be achieved through a range of conservation strategies and mechanisms, reflecting different national circumstances, and implemented through both a network of protected areas and in forests outside protected areas.

2. The international community and countries seek to ensure that any future international arrangements and mechanisms for forests include forest conservation as a core area of activity and develop an agenda for action on forest conservation, including the staged implementation of agreed proposals for action.

A SUPPORTIVE POLICY ENVIRONMENT

3. The international community and countries commit to achieving effective implementation and coordination at global, regional, national and local levels, of the relevant provisions of international policies and mechanisms to support forest conservation goals including:

- the Convention on Biological Diversity
- the World Heritage Convention
- the Framework Convention on Climate Change
- the Convention to Combat Desertification
- other Conventions such as CITES and RAMSAR
- the International Tropical Timber Agreement, and
- processes for the development of criteria and indicators of sustainable forest management.

4. Countries develop and implement policies to maintain a permanent forest estate that is managed for a continuum of conservation and sustainable use objectives.

5. Countries address inappropriate policies, including perverse incentives and cross-sectoral policies that impact adversely on forest conservation values, and policy implementation failures that impede forest conservation.

6. International financial institutions and donors seek to minimise adverse impacts of sectoral policy responses and structural adjustment packages on forest conservation goals.

7. Countries include forest conservation and protected areas as integral components of national forest policies, legislation and programs, and improve cross-sectoral coordination with policies and programs that impact on forest conservation.

RESOURCES TO SUPPORT FOREST CONSERVATION

8. The international community and countries recognise that increased financial and human resources for forest conservation are needed to support the achievement of forest conservation goals, and seek to develop and utilise existing and new mechanisms for resource provision including:

- conservation trust funds
- the Clean Development Mechanism and Joint Implementation activities of the Kyoto Protocol of the Framework Convention on Climate Change, and
- specific measures such as tradeable conservation credits, supportive taxation regimes, direct charges and financial assistance.

9. The international community and countries develop and implement financial mechanisms that aim to achieve equitable distribution of the costs and benefits of forest conservation and, in particular, provide incentives to forest-dependent communities which forego potential income to pursue forest conservation options.

10. The international community and financial institutions provide adequate human and financial resources to support the achievement of forest conservation and protected areas goals through:

- institutional strengthening and capacity building
- research and development
- access to and transfer of technology
- technical and scientific cooperation, and
- community education and extension.

PARTNERSHIPS TO SUPPORT FOREST CONSERVATION

11. The international community and countries seek to enable various forms of partnerships in support of forest conservation including, *inter alia:*

- collaborative forest management arrangements with local and indigenous communities
- partnerships with non-government organisations, the private sector and research institutions, and
- transboundary arrangements.

INTEGRATED CONSERVATION STRATEGIES

12. Countries develop and implement integrated strategies for forest Conservation through systems and processes which include the following elements:

- recognition of the full range of forest values and of environmental, economic and social goals
- a bioregional basis for conservation planning
- open and transparent processes for stakeholder participation
- best use of all available data, including indigenous and local knowledge
- reserve design and selection based on the reserve network principles for biodiversity conservation, and
- use of appropriate mechanisms to achieve forest conservation goals, within and outside protected areas, recognising the complementary and interdependent roles of protected areas, forests protected by other mechanisms and forests managed under sustainable forest management regimes.

13. Countries review the effectiveness of forest conservation strategies, in particular existing protected area networks, in relation to environmental, social, legal and economic objectives, within the broader objective of developing an integrated forest conservation strategy.

FOREWARD

In recognising the urgent need for action for global forest conservation, Australia proposed the inclusion of forest conservation and protected areas in the work program of the Intergovernmental Forum on Forests (IFF). The development of a paper in support of this initiative, and the forthcoming discussions on forest conservation and protected areas in the IFF, are both timely and important.

This paper captures an emerging global consensus on forest conservation and protected area issues, particularly those related to the effectiveness of protected areas, the development of integrated forest conservation strategies, the role of partnerships and the necessity for a supportive policy environment. The paper also provides useful guidance on actions to assist the global community to better achieve forest conservation objectives.

In recent years Australia has made a major commitment to developing and implementing integrated forest conservation and sustainable management systems through its Regional Forest Agreement (RFA) process. The RFA process, which aims to establish a world class forest reserve system as well as an internationally competitive and ecologically sustainable forest products industry, involves comprehensive assessments of forest values, extensive stakeholder participation and the negotiation of forest management options.

The diversity of social, cultural and environmental circumstances around the world requires that countries adopt forest conservation models that are appropriate their individual circumstances. The holistic approach promoted in this paper is a useful framework for all countries to draw on in developing their own particular integrated forest conservation models.

I commend this paper to governments and the international community, and encourage all relevant stakeholders to develop bold agendas for implementing the proposals for action in the coming years.

Robert Hill
Minister for the Environment and Heritage
Australia

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Council

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COMMISSION ON SUSTAINABLE DEVELOPMENT

Intergovernmental Forum on Forests

Third session
Agenda item ...

Letter dated 21 April 1999 from the Permanent Representatives of Chile, Denmark, India, New Zealand and Portugal to the United Nations addressed to the Secretary-General

New York, 21 April 1999

Sir,

On behalf of Chile, Denmark, India, New Zealand and Portugal, the countries sponsoring the International Expert Meeting on the Role of Planted Forests in Sustainable Forest Management, held in Santiago, Chile, from 6 to 10 April 1999, we have the honour to transmit to you the final report of the Meeting.

The purpose of this initiative is to support the discussion on this topic in the United Nations Intergovernmental Forum on Forests (IFF).

Please circulate this letter and the attached report as an official document at the third session of the Intergovernmental Forum on Forests, to be held at Geneva from 3 to 14 May 1999.

Juan Larrain
Ambassador
Permanent Representative of Chile
to the United Nations

Jorgen Bojer
Ambassador
Permanent Representative of Denmark
to the United Nations

Kamalesh Sharma
Ambassador
Permanent Representative of India
to the United Nations

Michael John Powles
Ambassador
Permanent Representative of New Zealand
to the United Nations

Antonio Monteiro
Ambassador
Permanent Representative of Portugal
to the United Nations

Secretary-General
United Nations, New York

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'ROLE OF PLANTED FORESTS IN SUSTAINABLE FOREST MANAGEMENT'

Report of the

INTERNATIONAL EXPERT MEETING

April 6 - 10 1999, Santiago, Chile

Sponsored by the Governments of Chile, Denmark, India, New Zealand and Portugal

This report is dedicated to the memory of

Alvaro Branco Vasco
former Director General of Forests
Portugal

who played a key role in convening this Expert Meeting on the Role of Planted Forests.

His tragic death in January 1999 prevented him from seeing the fruits of his efforts.

EXECUTIVE SUMMARY

The governments of Chile, Denmark, India, New Zealand and Portugal sponsored an international meeting of experts entitled "The Role of Planted Forests in Sustainable Forest Management" to support the Intergovernmental Forum on Forests (IFF) in implementing actions to promote sustainable forest management. Eight invited papers and case studies formed the basis of deliberations held in Santiago, Chile from 6-10 April 1999.

The international experts meeting was attended by 74 participants from 31 countries from all regions representing governments as well as the private sector, international and non-governmental organisations. The meeting made the following recommendations for further deliberation by the IFF:

(i) Countries should recognise that the boundary between planted and natural forests is often indistinct. The roles fulfilled by planted forests are diverse, and a continuum of forest types exists from highly protected conservation forests to productive, short rotation planted forests.

(ii) When considering the definition of planted forests, the international community, especially FAO, and individual countries should take into account the need to reflect both the differing degrees of management as well as the different objectives of planted forests.

(iii) To promote policies to reduce unsustainable consumption of forest products in developed countries, focussing on reduction, reuse, recycling and eco-efficiency, while recognising the environmental acceptability of many wood products compared with some alternatives. Efficient and sustainable utilisation should be encouraged in all countries.

(iv) To promote policies to increase forest area, by planted forests and other means, including trees on farms, in order to meet the rising demand for wood, non-wood forest products and services including carbon sequestration.

(v) To note IPF recommendation 58.b.ii "taking all practicable steps to avoid replacing natural ecosystems of high ecological and cultural values with forest plantations, ... and preferring native species, where appropriate".

(vi) To encourage countries, especially with low forest cover, to use planted forests and other means, including trees on farms, as an option for rehabilitating degraded areas and, where possible, as a basis for re-establishing natural forests.

(vii) To encourage the use of environmental impact assessments and other tools to facilitate the development and implementation of sound land-use decisions.

(viii) To take due consideration of environmental, economic, and social principles of SFM, at appropriate levels, in the planning and management of planted forests.

(ix) To encourage the development of strategies utilising planted forests, where appropriate, for the conservation and management of forest genetic resources. The utilisation of reproductive material of high genetic quality should also be encouraged.

(x) To urge countries to involve stakeholders effectively in decision making and policy implementation relating to planted forests.

(xi) To request FAO to undertake quantitative studies on the supply and demand for fuel wood, fodder and non-wood forest products and to continue to support countries in capacity building.

(xii) To urge countries to engage in awareness raising of the ecological, social, cultural and economic roles that planted forests may fulfil, and their impacts.

(xiii) To encourage appropriate two-way technology transfer mechanisms for the sustainable development of planted forests. In addition, appropriate means to ensure the sharing of technologies between and within countries should be developed, including effective links between research, extension and implementation.

It is hoped that these important conclusions and recommendations will go beyond the Intergovernmental Forum on Forests including further consultation on the role of planted forest in sustainable forest management

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'ROLE OF PLANTED FORESTS IN SUSTAINABLE FOREST MANAGEMENT'

REPORT OF THE

INTERNATIONAL EXPERT CONSULTATION
April 6 - 10 1999, Santiago, Chile.

1. BACKGROUND

The United Nations Conference on Environment and Development (UNCED) held in Rio de Janeiro in 1992 recognised the significance of planted forests in sustainable forest management.

Subsequently, the Intergovernmental Panel on Forests (IPF), established in 1995 under the UNCSD to progress the implementation of actions towards sustainable management, made a number of proposals for action relating to planted forests. These are documented in the final report of the IPF (see Report E/CN.17/1997/12).

The Intergovernmental Forum on Forests (IFF) succeeded the IPF in 1997. Part of the mandate of the Forum is to promote and facilitate the implementation of the proposals for action made by the IPF, and to make further recommendations on a number of pending issues needing further clarification. Several issues on the agenda of the IFF are related to planted forests.

1.1 Expert Meeting on the Role of Planted Forests in Sustainable Forest Management

Although the important role the planted forests play in sustainable forest management was recognised by the UNCED, the IPF and the IFF, the matter has not been addressed comprehensively within the framework of the intergovernmental dialogue on forests. It was to fill this gap that the governments of Chile, Denmark, India, New Zealand, and Portugal sponsored the Expert Meeting on the Role of Planted Forests in Sustainable Forest Management in Santiago, Chile from 6-10 April 1999.

The meeting was attended by 74 participants from 31 developed and developing countries representing governments as well as several international organisations, ten environmental non-government organisations, and a number from the private sector.

The overall purpose of the meeting was to assist the IFF in recognising and enhancing the role of planted forests as an important element of sustainable forest management complementary to natural forests. The meeting specially addressed underlying causes of deforestation, needs and requirements of countries with low forest cover, future supply and demand for wood and non-wood forest products, rehabilitation of degraded forest lands and other relevant issues.

Furthermore, the meeting had as an objective the expert consultation contributing to identifying options and priorities for further enhancing quantity and quality of goods and services provided by planted forests within the context of sustainable forest management and to building consensus through a more informed dialogue among major interest groups.

The present report from this expert meeting is intended to assist the IFF in its deliberations on issues related to planted forests. The report is structured on the same basis the IPF and the IFF have categorised its work so that the output from the expert meeting relating to planted forests could be easily linked. At the same time, it was recognised during the expert meeting that a number of important issues relating to planted forests are not adequately addressed in the agenda of the IFF. Conclusions and recommendations on these issues are included for the attention of the IFF.

2. THE ROLE OF PLANTED FORESTS IN SUSTAINABLE FOREST MANAGEMENT

2.1 Introduction

All forests fulfil a range of roles and provide a variety of goods and services. The roles fulfilled by planted forests are diverse and the goods and services produced include the production of industrial wood, fuel wood, non-wood forest goods (eg. animal fodder, apiculture, essential oils, tan bark, cork, latex, food), and conservation, carbon sequestration, recreation (eg. hunting, fishing, hiking), erosion control and rehabilitation of degraded lands, including landscape and amenity enhancement. For countries with a low forest cover, the only way to obtain the multiple benefits from forests, is creating new forests, mainly through planting.

The variety of roles of planted forests has resulted in a diverse set of management practices and ecosystems. As a result, a continuum exists from highly protected conservation forests to productive, short rotation planted forests and the boundary between planted and natural forests is often indistinct. This prevents a highly prescriptive definition of plantations from being used.

At the same time, circumstances of each country vary with differing economic, social, cultural and other critical aspects that bear on forestry. As such, it is unrealistic to expect a single policy prescription relating to forests to apply in all countries. Any measure, which ignores different country situations, is likely to fail.

Different management objectives and practices are used to deliver the variety of goods and services required. For example, the management objectives of a forest planted with wood production as a primary goal will differ substantially from a planted forest which has erosion control as its principal objective.

2.2 Future Supply and Demand of Wood and Non-Wood Forest Products (Programme element II.d: E/CN.17/IFF/1999/14 items II 9b, 9c, 9d, 10c, 42, 49a, 51c)

2.2.1 Reduction in unsustainable consumption

Considering that many planted forests are concerned with production, the meeting noted that eradicating poverty and changing unsustainable consumption and production patterns are a priority of international and national sustainable development policies. Effective policies to reduce unsustainable consumption of forest products in developed countries are required, focussing on approaches such as reduction, reuse, recycling and eco-efficiency. It is recommended that these strategies should avoid the substitution of forest products by less sustainable alternatives such as concrete, steel and aluminium.

Policies to change consumption patterns should be based on a full life cycle assessment of both forest products and their alternatives.

2.2.2 Requirement for planted forests

Despite recycling and other efforts to reduce consumption, most participants considered that the demand for industrial wood, fuel wood and non-timber forest products and services, will increase considerably in the future. The world's present wood production capacity cannot meet this requirement. Planted forests are seen as the only economically viable and environmentally safe means of meeting these requirements.

In addition to meeting increased demand, planted forests can also assist in addressing underlying causes of deforestation in particular in the recovery of degraded lands, increase the extent of forests in countries with low forest cover and deliver valuable non-wood services, such as carbon sequestration. Most participants considered that a substantial increase in the area of planted forests, in the order of 100 million hectares, will be needed over the next 50 years to meet the needs of the increase in population assuming that the current per capita levels of consumption will remain unchanged. However, no consensus was reached on this figure. Current programmes suggest that Asian countries will provide most of the additional area.

Alternatively, some participants argued that increased planting was not required. They considered that stronger efforts should be made to reduce wood consumption and to look for alternative energy sources, allowing the environmentally safe substitution of wood products.

The point was made that the importance of the predicted increase was more to recognise this need in considering global sustainable forest management options rather than to agree on a required hectarage of new planting. Regardless of whether or not there is increased planting, comprehensive Life Cycle Analyses are required to reinforce the position of wood as an environmentally friendly low energy alternative to steel, concrete and aluminium and to encourage the replacement of these products by wood.

2.2.3 Sustainable Forest Management objectives

It was agreed that all sustainable forest management objectives should be met at the national level but participants could not agree on the extent to which all objectives should be met at the landscape and forest management unit levels. Criteria and indicators fulfil an important role in the assessment of sustainable forest management although different indicators may need to be applied depending on the management objectives and the level of application under consideration. Management plans should clearly specify the major objectives of the planted forest and take into account agreements reached at the national and global levels, such as the Statement on Forest Principles, legally binding conventions, the IPF proposals for action and criteria and indicators for sustainable forest management.

Certification was seen as a useful means, among others, of communicating the attainment of sustainable forest management to the market and the community. It was widely considered that land use planning, public consultation and environmental impact assessment were important mechanisms for the achievement of sustainable forest

management. Other significant considerations are the use of relevant codes of practice and codes of ethics which are accepted by stakeholders and the sector.

2.2.4 Ecological stability

A continuum exists between planted forests and natural forests. However, the greater biological diversity of natural forests and their structural features will tend to promote ecological stability. The ecological stability of all forests is under pressure from accidental or deliberate introduction of alien species, forest fires and climate change. New threats will inevitably arise over time but the history of planted forests suggests that these risks may be adequately contained by the use of sound silvicultural practices complemented by monitoring, research and effective bio-security.

2.2.5 Fuel wood, fodder and non-wood forest products

Globally more than half the wood supply consists of fuel wood. In developing countries, even conservation forests located close to human settlements are often degraded by people collecting fuel wood and other essential supplies. Any durable solution to this problem should involve the creation of adequate fuel wood supplies in accessible locations.

In order to successfully implement suitable policies, all stakeholders should be involved in decision making and implementation. Cultural, economic, social and other circumstances also require consideration when designing effective policy measures.

Basic needs of local communities, should be given priority in the social, economic and environmental considerations of sustainable forest management. In developing countries fuel wood, fodder and non-wood forest products are often a priority for local communities. In developed countries, recreation opportunities, other environmental services and rural employment are often important concerns. Planted forests can play a significant role in providing these opportunities for local communities.

Despite its significance in global wood consumption, there is a dearth of quantitative information on fuel wood availability and use. The participants concurred that the availability and credibility of data on industrial wood products was significantly better that for fuel wood, fodder and non-wood forest products. FAO was strongly recommended to undertake quantitative studies on the supply of and demand for these latter products. FAO was also encouraged to continue to support countries in capacity building so that improved data are made available nationally and globally.

2.3 Underlying causes of Deforestation and Forest Degradation (Programme element II.d.1: E/CN.17/IFF/1999/7 item 39)

Two of the principal causes of deforestation are the clearing of forest land for agriculture and the harvesting of natural forests for the provision of goods and services. The meeting noted that planted forests fulfil a complementary role to natural forests in the achievement of sustainable forest management and endorsed an enhancement of the provision of goods and services from planted forests. Countries should be encouraged to develop policies that avoid replacing natural ecosystems of high ecological and cultural values with forest plantations and, where appropriate, native species should be preferred. In addition, increased coordination

between the implementation of agricultural and forestry policies was considered to be an important means of addressing some of the driving forces behind deforestation.

2.4 Assessment, Monitoring and Rehabilitation of Forest Cover in Environmentally Critical Areas (Programme element II.d.8: E/CN.17/IFF/1999/9 items 8, 9, 47,48,49)

2.4.1 Transitional forestry for the rehabilitation of degraded land

Planted forests have an important role to play in the rehabilitation of degraded land. These forests may initially consist of a restricted set of species able to survive the initial conditions. Subsequently, a species transition may be achieved to mimic the indigenous forest ecosystem. In such circumstances, planted forests are considered to be a transitional phase to the re-establishment of natural forests.

The need for a such a transition depends on country circumstances, the national forestry goals, and socio-economic conditions in the country. Not all countries have the same forestry objectives, similar resources, or the same social and community pressures on forestry. Country needs will largely determine whether the transitional concept is an appropriate approach but it may be especially important where forest cover is low.

2.4.2 Increase in forest cover

Planted forests are an important means of increasing forest area in countries with low forest cover. Planted forests are able to enhance the provision of a wide range of goods and services including production of wood and non-wood forest products, conservation, carbon sequestration, and erosion control in addition to the rehabilitation of degraded lands considered above. When planted forests are established, all practicable steps should be taken to avoid replacing natural ecosystems of high ecological and cultural value. In many countries, the establishment of trees on farms is an important means of ultimately increasing the area of forest cover. In order to achieve equitable and effective outcomes, indigenous and local communities, land owners and other stakeholders need to be involved in the decision making process.

2.5 Transfer of Environmentally Sound Technologies to Support Sustainable Forest Management (Programme element II.c: E/CN.17/IFF/1999/6 items 4f, 4h, 5a, 5b, 5c, 5d, 5e, 5g, 5j, 5k, 5l)

Technology transfer was considered to be a critical, but complex, issue for the effective development of planted forests. Technology transfer should have the clear objective of transferring appropriate and proven technologies that match the needs of the beneficiaries. A two way flow of information was considered to be essential for effective technology transfer.

An effective link between research and extension is an important element in the transfer of information and technology. Most participants agreed that there were significant impediments to the flow of new information and technology to the end-user. Programmes are needed to increase the capability of extension workers through better education and training.

In addition, appropriate mechanisms should be developed to ensure transfer of technologies within and between countries. Extensive information and technologies exist on development

options for different types of planted forests, but they are unevenly distributed. Developing suitable methods for the transfer of this information to the areas of greatest need would be an important mechanism for increasing the effectiveness of planted forests establishment and management. It would also raise the awareness of the ecological, social, cultural and economic roles that planted forests may fulfil.

2.6 Specific Issues relating to Planted Forests

2.6.1 Definition of planted forests

Traditionally, forests have been defined as either natural or planted depending on a number of factors including method of establishment, management intensity and nature of the species used. With the inclusion of non-wood forest product values to the management objectives of many planted forests and with the initiation of management practices in many of the natural forests, the distinction between natural and planted forests is more difficult to make. The meeting noted that there is a continuum of forest types and that the boundary between planted and natural forests is often indistinct. FAO, and other national and international organisations, were encouraged to consider these issues when establishing definitions.

2.6.2 Education and transfer of information

The public and other stakeholders require a better understanding of the ecological, social and economic roles that planted forests may fulfil. A two-way flow of information is essential in order to achieve effective communication between stakeholders and managers of planted forests. This communication should be flexible and creative. Forest managers should strive to be responsive to a range of views, including traditional forest related knowledge. They should acknowledge that a variety of approaches to managing forests are possible and that stakeholders need to understand the advantages and disadvantages of the various management options.

2.6.3 Involvement of stakeholders in decision making

Indigenous and local communities, land owners, industry and other stakeholders need to be involved in decision making in order to achieve equitable and effective policy decisions and their implementation. This is particularly important with any land use change new planted forests may bring. In this way, stakeholder consultation may result in policies that reflect the needs of local communities and individual nations. A variety of mechanisms may be used to foster dialogue between parties. Formal agreements and transparency will facilitate stakeholders' participation, but differences between countries and local conditions should also be acknowledged.

The following two issues should be considered when developing both national and local policies :

(i) the legal, customary and cultural rights of communities should be defined ;

(ii) adequate access to wood and non-wood forest products should be ensured.

2.6.4 Sound land-use decisions

Population growth, urbanisation, decreasing commodity prices and regulations impact on land use decisions in most countries. These decisions may have a significant impact on the roles that planted forests may fulfil within a country, such as the production of wood products, fuel wood, non-wood products, rehabilitation of degraded land and the production of other goods and services such as recreation and carbon sequestration. The development and implementation of rational land-use decisions should be encouraged so that the optimal use of the available land is achieved. The linking of agricultural and forestry policies and the use of environmental impact assessments, and other tools, were highlighted as important mechanisms for attaining this goal. The involvement of both the local people and the land owners in decision making was common concern.

2.6.5 Ownership

Participants agreed that ownership patterns affect the outcomes achieved by planted forests and that the management objectives of the government and private sector differed. In general, governments are reducing their ownership of planted forests and are focussing on the development of forestry and environmental policies. The involvement of stakeholders in these processes is an important issue. Most participants agreed that governments should be less involved in the direct management of planted forests for wood production but should create the right environment for the private sector to operate efficiently. However, important governmental roles remain in the development of forests for land rehabilitation, soil conservation and fuel wood production.

2.6.6 Biodiversity, landscape and hydrology

Biodiversity, landscape and hydrology have been points of concern for planted forests. Some participants considered that these points could be addressed by appropriate planning and management of planted forests. For example, if planted forests were appropriately sited and managed in relation to indigenous forests and agricultural lands, these issues could be managed adequately at the landscape level. Other participants considered that these issues needed to be addressed at the management unit level and, consequentially, biodiversity, landscape and hydrology become part of forest design and each forest operation.

2.6.7 Conservation of forest genetic resources

It is essential to conserve forest genetic resources. In many countries, support for the conservation of genetic resources is decreasing and innovative strategies are required to ensure adequate resourcing. Options include concentrating government support on long term research and development, expanding areas for protection of biodiversity and public-private partnerships and increased cooperation among countries. Planted forests may contribute to conservation through the reintroduction of species, the maintenance of genetic variability, and release of land for conservation purposes.

2.6.8 Genetic improvement

Benefits from genetic improvement can be derived without sacrificing genetic diversity. While the use of appropriate and sound genetic material should be strongly encouraged, genetic improvement should primarily focus on conventional approaches, but should also be open to new developments such as biotechnological methods. Given the ethical, environmental, and sustainability issues, genetic diversity issues, and public concerns over the uncertainties and risks of genetically modified organisms, prudence is needed in pursuing

biotechnological approaches. However, the potential benefits of biotechnology should be explored.

National and/or international regulatory regimes are likely to have a significant effect on the development and application of advanced genetic modification technologies. Informed decisions on the application of biotechnology can be made through effective consultation with appropriate stakeholders and based on clear scientific understanding of associated risks and benefits.

The number of species incorporated in tree improvement programmes should be guided by many considerations, including the needs of the population and industry, national capacity, and potential risks and opportunities. These factors, together with the available technologies and international technical cooperation, should guide the prioritisation of species selection for improvement. Tree improvement should aim to achieve higher productivity without sacrificing long-term ecosystem stability and flexibility. The utilisation of reproductive material of high genetic quality should also be encouraged.

3. CONCLUSIONS

Context

3.1 Multiple roles of planted forests

All forests produce goods and services. The roles fulfilled by planted forests are diverse and include production of industrial wood, fuel wood, non-wood forest products and conservation, recreation, landscape enhancement and amenity, carbon sequestration, erosion control and rehabilitation of degraded lands. As a result, a continuum exists from highly protected conservation forests to productive, short rotation planted forests and the boundary between planted and natural forests is often indistinct. This prevents a highly prescriptive definition of planted forests from being used.

3.2 Reduction in unsustainable consumption

Effective policies to reduce unsustainable consumption of forest products in developed countries are required, focussing on approaches such as reduction, reuse, recycling and eco-efficiency. It is recommended that these strategies should avoid the substitution of wood by less sustainable alternatives such as concrete, steel and aluminium. It is recognised that wood, especially solid wood, is environmentally friendly. Policies to change consumption patterns should be based on a full life cycle assessment of wood products and their alternatives.

Role of Planted Forests

3.3 Requirement for planted forests

Despite recycling and other efforts to reduce unsustainable consumption, most participants considered that demand for industrial wood and fuel wood, as well as for non-wood forest products and services, including carbon sequestration, will increase considerably in the future. The world's present forested area cannot meet these requirements. In the view of most participants, planted forests are seen as the only economically viable and environmentally acceptable means of achieving these objectives.

3.4 Needs of local communities

Basic needs of local communities, should be given priority in the social, economic and environmental considerations of forest planning for sustainable development. In developing countries these generally include fuel wood, fodder and non-wood forest products, and in developed countries such things as rural employment. Planted forests can play a significant role in providing these opportunities.

3.5 Transitional forests

Planted forests can play an important role in the rehabilitation of degraded land and as a transitional phase in the re-establishment of natural forests. Country needs will largely determine whether the transitional concept is an appropriate approach.

3.6 Ecological stability

There is a continuum between planted forests and natural forests. The biological diversity of natural forests will tend to promote ecological stability. New threats to all forests will inevitably arise over time. Experience with planted forests suggests that these risks may be adequately contained with sound silviculture complemented by monitoring, research and effective bio-security.

3.7 Conservation of forest genetic resources

It is essential to conserve forest genetic resources and to develop a combination of innovative strategies to maintain support, such as concentrating government assistance on long-term research and development, expanding areas for protection of biodiversity, and public-private partnerships. Planted forests can contribute to conservation through the reintroduction of species, maintenance of genetic variability, and release of land for conservation purposes.

3.8 Genetic improvement

The use of appropriate and sound genetic material should be strongly encouraged. Genetic improvement should primarily focus on conventional approaches, but it is prudent to be open to new developments such as biotechnological methods. Informed decisions on the application of biotechnology can be made through effective consultation with appropriate stakeholders and based on clear scientific understanding of associated risks and benefits. National and/or international regulatory regimes are likely to have a significant effect on the development and application of advanced genetic modification technologies. The number of species incorporated in tree improvement programmes should be guided by considerations such as national objectives and capacity, the needs of the population and industry, and potential risks and opportunities.

Planted Forests and Wider Issues

3.9 Stakeholder participation

Indigenous and local communities, land owners, industry and other stakeholders, need to be involved in the decision making process in order to achieve equitable and effective policy decisions and their implementation. Particular attention should be given to the involvement of women and the poor.

3.10 Achievement of sustainable forest management

It was agreed that all SFM principles should be met at the national level but not all participants agreed to what extent all objectives should be met at landscape and forest management unit levels in planted forests. Criteria and indicators fulfil an important role in the assessment of sustainable forest management and certification could be a useful means, among others, of communicating its attainment.

3.11 Sound land-use decisions

The use of environmental impact assessments and other tools should be encouraged to facilitate the development and implementation of sound land-use decisions so that the optimal and sustainable use of the available land is achieved. Linking of agricultural and forestry policies was highlighted as an important mechanism for attaining this goal.

3.12 Protection of Natural Ecosystems

To encourage countries to develop policies that avoid replacing natural ecosystems of high ecological and cultural values with forest plantations, and preferring native species where appropriate, as noted in IPF recommendation 58.b.ii.

3.13 FAO study of fuel wood, fodder and non-wood forest products

The meeting noted the on-going efforts by FAO to quantify the supply of and demand for fibre (industrial roundwood and timber) and strongly recommended that similar quantitative studies be undertaken on the supply and demand for fuel wood, fodder and non-wood forest products. FAO should also continue to support countries in capacity building.

3.14 Education and information

Education and information exchange should be used to raise awareness of the multiple roles that planted forests may fulfil in ecological, social and economic functions and the advantages and disadvantages of the various management options. Managers of planted forests should acknowledge that a variety of approaches to managing forests are possible, including the use of traditional forest related knowledge.

3.15 Technology transfer

Technology transfer was considered to be a critical issue for the effective development of planted forests. Technology transfer should have the clear objective of transferring appropriate and proven technologies that match the needs of beneficiaries. In addition to the establishment of effective links between research, extension and implementation, it is important that appropriate measures are developed to ensure two-way sharing of technologies, within and between countries. Extensive experience in the development of different types of planted forests exists but it is unevenly distributed. Developing methods for the transfer of this information to the areas of greatest need would be an important mechanism for increasing the effectiveness of establishing planted forests.

4. RECOMMENDATIONS

Taking into account these conclusions, the meeting makes the following recommendations for further deliberation by the Intergovernmental Forum on Forests:

Context

(i) Countries should recognise that the boundary between planted and natural forests is often indistinct. The roles fulfilled by planted forests are diverse, and a continuum of forest types exists from highly protected conservation forests to productive, short rotation planted forests.

(ii) When considering the definition of planted forests, the international community, especially FAO, and individual countries should take into account the need to reflect both the differing degrees of management as well as the different objectives of planted forests.

(iii) To promote policies to reduce unsustainable consumption of forest products in developed countries, focussing on reduction, reuse, recycling and eco-efficiency, while recognising the environmental acceptability of many wood products compared with some alternatives. Efficient and sustainable utilisation should be encouraged in all countries.

Role of Planted Forests

(iv) To promote policies to increase forest area, by planted forests and other means, including trees on farms, in order to meet the rising demand for wood, non-wood forest products and services including carbon sequestration.

(v) To note IPF recommendation 58.b.ii 'taking all practicable steps to avoid replacing natural ecosystems of high ecological and cultural values with forest plantations, ...and preferring native species, where appropriate'.

(vi) To encourage countries, especially with low forest cover, to use planted forests and other means, including trees on farms, as an option for rehabilitating degraded areas and, where possible, as a basis for re-establishing natural forests.

(vii) To encourage the use of environmental impact assessments and other tools to facilitate the development and implementation of sound land-use decisions.

(viii) To take due consideration of environmental, economic, and social principles of SFM, at appropriate levels, in the planning and management of planted forests.

Planted Forests and Wider Issues

(ix) To encourage the development of strategies utilising planted forests, where appropriate, for the conservation and management of forest genetic resources. The utilisation of reproductive material of high genetic quality should also be encouraged.

(x) To urge countries to involve stakeholders effectively in decision making and policy implementation relating to planted forests.

(xi) To request FAO to undertake quantitative studies on the supply and demand for fuel wood, fodder and non-wood forest products and to continue to support countries in capacity building.

(xii) To urge countries to engage in awareness raising of the ecological, social, cultural and economic roles that planted forests may fulfil, and their impacts.

(xiii) To encourage appropriate two-way technology transfer mechanisms for the sustainable development of planted forests. In addition, appropriate means to ensure the sharing of technologies between and within countries should be developed, including effective links between research, extension and implementation.

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Agenda item 3

Letter dated 23 April 1999 from the Permanent Representative of Brazil to the United Nations addressed to the Secretary-General

(Signed): Celso L.N. Amorim
Permanent Representative of Brazil
to the United Nations

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Permanent Mission of Brazil
to the United Nations
New York

No. 103

23 April 1999

Mr. Secretary-General,

I have the honour to transmit the report of the Co-Chairmen of the "Brazil-US International Experts Meeting on Protected Forests Areas", that took place in San Juan, Puerto Rico, from 15 to 19 March 1999.

I would be grateful if the text of the present letter and its annex could be distributed as an official document of the Third Session of the Intergovernmental Forum on Forests, which will take place in Geneva, from 3 to 14 May 1999.

Please accept, Excellency, the assurances of my highest consideration.

Celso L.N. Amorim
Ambassador
Permanent Representative of Brazil
to the United Nations

To
H.E. Mr. Kofi Annan
Secretary-General of the United Nations

Brazil - US International Experts Meeting on Protected Forest Areas

Final Report

San Juan, Puerto Rico
March 15-19, 1999

Brazil - US International Experts Meeting on Protected Forest Areas

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I. INTRODUCTION

(1) The governments of Brazil and the United States of America sponsored an international experts meeting on protected forest areas in San Juan, Puerto Rico from March 15-19, 1999. Results from the meeting are intended to contribute to the work of the UN Commission on Sustainable Development (UNCSD) Intergovernmental Forum on Forests (IFF) under Category II.d, "Forest conservation and protected areas," by developing a better understanding of issues related to protected forest areas. This will be discussed substantively at the third session of the IFF in Geneva in May 1999 (See Annex 1).

(2) The subject of protected forest areas is compelling because of the many unresolved issues with significant impact on people. While there is agreement among many countries that protecting forest areas is important, there is a need for consistent information regarding: the status of these areas, the policy making and funding mechanisms and field level management tools which foster their protections, or ways to expand their benefits. Thus, the goal of the international experts meeting was to distill the wisdom of experts worldwide into succinct conclusions and practical recommendations. More specifically, the objectives of the meeting included considering and formulating possible options for:

- (3) developing consistent information globally on protected forest areas and their contributions to the sustainable management of all types of forests, taking into account the unique characteristics of each country, including public, private, and community ownership of forests and;
    - existing definitions and classification systems for protected forest areas;
    - the various purposes and benefits of protected forest areas, including ecological, social, and economic;
    - the relationship of protected forest areas to adjacent areas and other protected areas;
- effectively managing protected forest areas to meet designated objectives, including issues of participation and enforcement;
- enhancing economic viability of protected forest areas, including financial mechanisms and means for income generation, and
- developing criteria for establishing protected forest areas.

Participation

(4) The meeting was designed to be informal, open-ended, transparent and participatory, consistent with IFF guidelines, and include participants with diverse institutional affiliation and field experience. The 130 participants represented developing and developed nations, indigenous organizations, environment non-governmental organizations, industry and individual experts from universities and research institutions (See Annex 3).

Working Methods

(5) The co-sponsors established an informal contact group of representatives from countries and international organizations to advise on meeting preparations, including the agenda, and

organization of work. In addition to Brazil and the United States, contact group members included Australia, Chile, France, India, Japan, Malaysia, United Kingdom, Zimbabwe and the IUCN and World Bank.

(6) Based on its discussions, the contact group identified the following five key topics as the organizing themes of the meeting:

a. Classification systems for protected forest areas;
b. Management effectiveness for protected forest areas;
c. Criteria for establishing protected forest areas;
d. Economic viability of protected forest areas;
e. The benefits and mechanisms for protecting forest areas.

(7) The meeting agenda was based on plenary sessions and working group discussions (see Annex 2). The first day was devoted to presentations by keynote speakers, an afternoon panel on the subject, "Benefits of and Mechanisms for Protected Forest Areas," followed by a question and answer period. There were four working groups, only two of which met at any one time to allow for broad participation. A chairperson and rapporteur led each working group. A three-member panel provided background information to inform discussion. On the second day of the meeting, each working group decided to divide into smaller subgroups to facilitate the drafting of conclusions and recommendations.

(8) Plenary sessions were co-chaired by Braulio Diaz (Brazil) and Elizabeth Estill (U.S.). The four working groups were organized as follows:

Classification systems
Chair: Juan Carlos Riascos, Colombia
Rapporteur: Mike Dudley, UK

Economic viability
Chair: Catherine Potter, Australia
Rapporteur: Bernard Chevalier, France

Criteria for establishment
Chair: Effendy Sumardja, Indonesia
Rapporteur: Kishore Rao, India

Management Effectiveness
Chair: Alberto Salas, Costa Rica
Rapporteur: Bernardo Zentilli, Chile

II. OVERVIEW

(9) Recognizing that considerable work on protected forest areas has already been undertaken by countries, organizations and other groups, this meeting sought to build on those experiences as a framework for dialogue on select key topics that could advance a common understanding of the role of protected forest areas in forest conservation and sustainable forest management. The conclusions and recommendations contained in Sections III. and IV. of this report reflect the collective wisdom and agreement of the participants of the meeting and comprise actions that could be undertaken by relevant bodies and groups to define more clearly the value of protected forest areas to affected parties and their role in sustainable forest management.

(10) During the weeklong discussions in the plenary and working groups, several themes resounded. First is the need for more consistent and comparable data, as well as methods and indicators, on various aspects pertaining to protected forest areas. The lack of comparable data limits information sharing and acquisition of international support for protected forest areas, the purposes for which it is established, and the viability of its existence and effective management, including how best to further recognize and support protected forest areas and share information and experience.

Second, the issues surrounding protected forest areas are not specific to forests. They are equally pertinent to debates in other fora, such as RAMSAR, the Convention on Biological Diversity, CITES, and on other ecosystems. Third, the human component is integral to efforts to conserve forests. Without the involvement of local communities, the benefits and goals of protecting forest areas are much harder to realize.

Mechanisms and Benefits of Protected Forest Areas

(11) The meeting participants agreed that protected forest areas provide a range of benefits: biodiversity conservation, watershed protection, soil and water conservation, flood control, carbon sequestration, maintenance of special cultural and spiritual values and lifestyles of indigenous people and local communities, economic development and diversification, research and recreation. It is difficult, however, to compare the value or benefits of protected forest areas because they are established for different reasons depending on local and/or national objectives. Dr. Jeff Sayer, CIFOR, noted in one of the keynote addresses that comparing the benefits and management effectiveness of protected forest areas is complicated by the variability in definitions and reporting schemes associated with their administration. He pointed out that we have very little knowledge of how to measure the management effectiveness of as well as the impact of a protected forest area on biological diversity and ecological processes.

(12) The meeting participants also agreed that forest protection and conservation is an important aspect of sustainable forest management, which provide a wide variety of benefits to society at the local, national and global levels. The fact that the number of protected forest areas has increased significantly in the last 25 years amplifies the importance of understanding better the purposes and benefits of them as well as the mechanisms for both establishing and effectively

managing them. Participants raised the importance of returning benefits of protected forest areas to affected communities and the importance of community support for long term viability of these areas.

Classification and comparison of data on protected forest areas

(13) The meeting recognized that classifying a protected forest area is dependent upon both the purposes for which it is established and the benefits to be achieved. The IUCN's "Protected Area Management Categories," as well as the work of other organizations, provided a framework for discussion on this subject. A common understanding of definitions of protected forest areas and existing classification systems will enhance the ability to manage them effectively and derive expected benefits. While the IUCN categories comprise a useful system for classifying protected forest areas in general, the diversity of national systems and approaches makes it difficult at this time to compare data on the extent and effectiveness of protected forest area classification systems across countries. Flexibility in the interpretation of existing categories is needed to accurately depict, among other things, land ownership patterns, including community-owned and privately-owned forests. Likewise, there is a need to develop further consistency in the interpretation and use of existing categories of protected forest areas.

For whom and for what are protected forest areas established?

(14) The meeting recognized that to determine what we want from a protected forest area, we have to know why we are protecting it. Keynote speaker, Dr. Tom Lovejoy, World Bank, raised the question, "for whom are we protecting forest areas?" Dr. Jeff McNeely, IUCN, asks "what are we protecting...?" Lovejoy emphasized that a protected forest area will not work if it is not integrated into the "local ethos", e.g. that the local community must be supportive of the purpose of the protected forest area. Further, the expected benefits will not be realized if there is no agreement among all affected parties on what is to be valued.

(15) It was also recognized that valuing forest ecosystem goods and services is difficult without a better heartfelt understanding of what is to be valued, both market and non-market resources. Better methods and indicators for valuing non-market benefits of forest ecosystem goods and services are needed. These should be devised using a holistic approach. An approach that separates market vs. non-market values (such as the social, cultural and spiritual values) fails to look at the multi-dimensional character of most protected forest areas. There should also be more focus on the value of the land and its resources rather than on what is being taken out of the forest. This would provide greater incentive to protect forest areas.

(16) There was general agreement that the integration of the "local ethos" or human component in protected forest area management warrants the involvement of local affected stakeholders in implementing and managing protected forest areas. Panelist Kamla Chowdhry, Society for the Promotion of Wastelands Development, India, emphasized that in many countries protected forest areas are established in areas where the spiritual and cultural values of the forests are of eminent importance to the populations living in and around them and that these communities are often isolated from non-resident decision-makers.

Seeking mechanisms for the effective financing and management of protected forest areas

(17) The meeting noted that many protected forest areas are not secure and they are being degraded or destroyed. Therefore, improving the management effectiveness of existing areas is of urgent priority. An important step is to develop the ability to collect accurate information about conditions within the protected area, including data on current status, likely future trends and the social and ecological implications of current management strategies.

(18) The meeting considered that more attention should be given to applying a forest-wide approach to forest protection policy as opposed to the more prevalent upstream approach whereby natural and international interests may drive the decision on management of protected forest areas. Managing protected forest areas necessarily involves various partners ranging from local communities, forest and park professionals, the private sector and the policy-making and financing [illegible] to effective management of protected forest areas.

(19) Participants stressed the importance of capacity building at all levels, [illegible] with particular attention to the local level. Management could benefit from training in [illegible] ecosystem management, [illegible] and economic valuation. Training and capacity building should be [illegible] to conserve natural forest ecosystems under their control. There was a need to [illegible] the use of adaptive management of management ecosystems that recognize the ever-changing characteristics of a protected forest area. These factors warrant regular review and [illegible] ongoing research activities to adapt management to these changes.

(20) The meeting noted that the effectiveness of a protected forest area, in terms of the expected desired benefits for which it was created as well as its positive impact on the people living in or around it, is dependent upon the long-term availability of funding resources. To achieve this, planners should seek diverse sources of income as well as develop a scheme for sustainability of funds over the long-term. Relying on a single source (or a few sources) of funding as well as planning for the short term will impact substantially the viability of the protected forest area over its lifetime. Use of existing and new innovative mechanisms for funding – at all levels – is a key component in sustaining the long-term objectives of protected forest areas. It is also important that resources reach the intended projects and those responsible for their implementation in the field. Finally, it was noted that those benefiting from protected forest areas should contribute to their maintenance.

III. CONCLUSIONS

(21) An overarching theme in the development by the meeting participants of both the conclusions and recommendations is that proposals for action already agreed to in other international fora should be implemented. The work done at this meeting is part of a continuing exercise to clarify and promote protected forest areas as an integral component of sustainable forest management. Initiatives emanating from other fora merit implementation and follow-up work, as appropriate.

(22) The meeting endorsed and drew on the results of the Australian-sponsored meeting on Conservation and Protection of Forest Areas (September 1998, Canberra) and found that report of great benefit. Likewise, participants acknowledged the important contributions of the Costa Rican Workshop on Underlying Causes of Deforestation and Forest Degradation (January 1999, Costa Rica), and asked the IFF to consider those recommendations, particularly related to financial flows, private investments and international economic relations for implementation, where appropriate, by countries and the international community.

A. There is a need to promote synergies and eliminate inconsistencies among various international conventions, such as CBD, Kyoto Protocol, FCCC, CCD, and other agreements, as well as to strengthen relationship between FAO and UNEP to help achieve forest protection goals. Within countries, synergies need to be developed between the forestry sector and other sectors that can impact forests, such as environment, landscape planning, industry, energy, and agriculture. Appropriate policy, institutional and legal frameworks, and supportive political environments should also be available at the national, regional and international levels to consolidate and expand protected forest area systems.

B. Currently the IUCN "Protected Areas Management Categories" is widely used by international organizations and many countries. In order to further develop and promote a shared understanding of protected forest areas there is a need for a better conceptualization of the breadth of the issue and clarification of terms. Flexibility in the interpretation of existing international categories of protected areas is required to accommodate community and privately owned protected forests; and embrace the concept of forest corridors among protected forest areas.

C. There is a need for comparable and consistent data on forest protected areas and their contribution to sustainable forest management; therefore, better coordination is required between current protected area reporting approaches and forest reporting approaches at national and international levels. Reporting systems should be transparent, inclusive, simple, clear, and relevant to national needs within a consistent international framework and avoid duplication of reporting requirements.

D. There is a need to better develop methods and indicators for valuing forest ecosystem goods and services in order to balance the social, cultural, spiritual, intrinsic and non-market values with economic values in a holistic way. A holistic value approach needs to be defined and applied to forest policies and programs.

E. Many protected forest areas are inadequately protected and subject to degradation. Increasing the management effectiveness of protected forest areas is therefore an urgent priority. One important step towards achieving this is collecting accurate information about conditions within protected forest areas and adjacent lands. This should include the current protection status, likely future trends and the social, cultural and ecological implications of current

management strategies, such as those identified in national forest programs or other relevant programs.

F. Protected forest areas often lack adequate involvement of the indigenous and local communities in the development of management plans. The planning process should allow meaningful engagement of indigenous and local communities and a participatory management process to develop goals and practices that are culture and gender sensitive.

G. There is an urgent need to enhance capacity building for protected forest area managers and rangers, as well as indigenous and local communities and other partners.

H. The planning, development and management of forest protected areas should take into account existing efforts to develop criteria and indicators for sustainable forest management as well as recognize the need for site-specific measures of management effectiveness.

IV. RECOMMENDATIONS

(23) The intersessional participants agreed to send the following recommendations to the Intergovernmental Forum on Forests (IFF) for presentation at IFF3, May 3-14, in Geneva Switzerland. Participants also urged other international bodies and organizations to consider these recommendations as possible areas for action and generally agreed to promote the recommendations in the relevant fora.

A. Public awareness should be enhanced at the national, regional and international levels regarding the importance of protected forest areas, and participation of indigenous and local communities and forest owners in their designation and management should be facilitated through transparent mechanisms based on principles and policies that are culturally and environmentally sensitive. This could include development of co-management plans and building partnerships with indigenous and local communities, private enterprise, governments and non-government organizations.

B. Countries and international donor agencies should provide financial support for consolidating and expanding protected forest area systems, including representation of arid regions and other wooded lands. Protected forest area systems should be representative of the range of ecological functions, evolutionary processes, and successional stages to safeguard biodiversity, water resources, forest regeneration capacity, vital functions and ecological and other services. Therefore, countries should conduct assessments of the representativeness of their existing protected forest areas.

C. Countries, NGOs, academia and communities should adopt a landscape, ecosystem or bioregional approach to protected forest area system planning and the linking of isolated protected forest areas through biological corridors and transboundary co-operation, where appropriate.

D. There needs to be further coordination and consultation at the international level among organizations responsible for data collection systems (including UNEP, IUCN/WCPA, WCMC, FAO, ITTO, FAO/ECE, and other relevant institutions). There should be a coordinated response at the national level, e.g. via a national focal point, informed by a national forum (working group) involving all relevant stakeholders (government, NGOs, private sector, indigenous and local communities, etc). IFF should encourage all affected parties to advance coordination and consultation on these issues, including within the CBD, to link forest protected area initiatives with initiatives to protect other ecosystems, cognizant that CBD COP6 will review forests in 2002, the World Parks Congress will consider protected area issues in 2002 and that COP7 of the CBD will consider protected area issues in 2004.

E. Encourage IUCN/WCPA to collaborate with countries, international organizations, NGO's, IPO's, CBO's and the private sector at national, regional and international levels so as to develop further guidelines for consistency in the interpretation and use of existing categories of protected areas, taking into account the need to embrace concepts of forest corridors; stage of implementation and effectiveness; as well as community and privately managed lands.

F. Countries are encouraged to acknowledge protected forest areas under the stewardship of indigenous and/or local communities. Countries should expand the use of existing mechanisms and incentives so as to support community owned and privately owned protected forest areas, and examine where existing categories can better accommodate and support spiritual and cultural values in their management and promote the integration of traditional knowledge and science-based management. Sacred groves and other natural forest sanctuaries protected through communal and religious institutions should be recognized as protected forest areas under appropriate categories.

G. The forest-related assistance agendas of international institutions, donors, and the private sector should be further coordinated with those of recipient countries and communities to help ensure that priorities are met and protected forest areas are not adversely affected. Simplification of administrative and operational procedures for financial assistance for forest protection would also be advantageous.

H. The Inter-Agency Taskforce on Forests should collaborate with the IUCN /World Commission on Protected Areas and other relevant organizations to develop guidelines and methodologies for non-material and economic valuation of forest goods and services to facilitate the appropriate distribution of costs and benefits of different land use options, particularly as they relate to protected forest areas. This process should be flexible, open to review and developed in collaboration with all relevant parties.

I. Countries, donors, international organizations, and private sector institutions are encouraged to provide financial assistance to facilitate the sustainable development of indigenous and local communities which forego development opportunities to pursue conservation options in and around protected forest areas. They should also provide financial and technical assistance

in accordance with the laws of the host country to secure land tenure in support of forest protection through demarcation and/or acquisition of land, recognizing the needs of indigenous and local communities.

J. Countries and the international community should develop and use a variety of existing and innovative financial mechanisms to promote and sustain forest conservation and restoration, including:

(i) mechanisms to ensure that revenue from protected forest areas, forest-related industries, and ecosystem services flows back to and benefits indigenous and local communities, protected area agencies, local governments, and protected forest areas themselves;
(ii) the Clean Development Mechanism and Joint Implementation activities of the Kyoto Protocol of the Framework Convention on Climate Change, and
(iii) specific measures such as conservation trust funds, GEF, debt for nature swaps, supportive taxation regimes, direct charges and financial assistance.

These efforts would be assisted by the development of guidelines based on experiences at national and local levels in generating sustainable finance for protected forest areas.

K. Countries should seek to improve cross-sectoral coordination of policies and programs that affect forest conservation, and address sectoral policies and perverse incentives that adversely impact forest conservation objectives.

L. Countries are encouraged to develop and apply institutional and legal arrangements to promote and provide a framework for the participation of the private sector, NGO's, IPO's and CBO's in the establishment, financing and management of forest protected areas. Such efforts should recognize the conservation contributions of these groups and provide technical guidance to promote the achievement of a variety of protected forest area management goals including biodiversity, enhanced environmental service delivery, and safeguarding of spiritual and cultural values. Protected area systems should build on existing indigenous conservation values, grounded in spiritual, cultural, and economic systems, while integrating local institutions.

M. Countries and international organizations (IUCN/WCPA, CIFOR, WCMC, World Bank WWF Alliance, FAO, UNEP, CBD) should cooperate to develop methodologies for assessing the condition of and management effectiveness in existing protected forest areas and their surrounding landscapes, as well as forest protected areas networks, taking into account the various efforts underway in several countries.

N. Countries and international organizations are urged to further build capacity to collect, organize, utilize, and share information and experience, including indigenous and local knowledge, in order to create and manage protected forest areas.

O. Countries and international organizations are encouraged to implement specific efforts to seek to ensure the continued integrity of the genetic diversity of protected forest areas through assessment, public awareness/participation, and management of threats.

P. Countries, donors, international organizations and the private sector should develop strategies to fight against corruption and poverty so that resources reach the protected forest areas and local communities, and foster their sustainable development.

V. ISSUES FOR FUTURE DISCUSSION

(24) The meeting identified the following issues pertaining to protected forest areas that may be considered for further discussion in an appropriate future forum.

A. The role of good governance in the establishment and management of protected forest areas.
B. Development and protection necessarily involve tradeoffs. In pursuing development options that may benefit local people, biological diversity is often affected. Likewise, conserving biological diversity often incurs an opportunity cost in terms of economic development that can benefit local people.
C. An appropriate sponsor should conduct a workshop on capacity building.to develop mechanisms for the sharing of experiences in effective management of protected forest areas.

ANNEX 1

ANNOUNCEMENT

INTERNATIONAL EXPERTS MEETING ON PROTECTED FOREST AREAS

Sponsored by the Governments of Brazil and the United States of America

Dates/Venue

15 B 19 March, 1999, San Juan, Puerto Rico

Purpose

To contribute to the work of the UNCSD Intergovernmental Forum on Forests (IFF) under Category II.d, AForest conservation and protected areas,@ by developing a better understanding of issues related to protected forest areas, which will be discussed substantively at the third session of the IFF in Geneva in May 1999. The meeting will be coordinated with related activities in other fora.

Objectives

To consider and formulate possible options for:

developing consistent information globally on protected forest areas and their contributions to the sustainable management of all types of forests, taking into account the unique characteristics of each country, including public, private, and community ownership of forests and

existing definitions and classification systems for protected forest areas
the various purposes and benefits of protected forest areas, including ecological, social, and economic
the relationship of protected forest areas to adjacent areas and other protected areas

effectively managing protected forest areas to meet designated objectives, including issues of participation and enforcement

enhancing economic viability of protected forest areas, including financial mechanisms and means for income generation, and

developing criteria for establishing protected forest areas

Participation

Consistent with the guidelines in para 12 of the Report of the IFF on its First Session, the meeting will be informal, open-ended, transparent and participatory, and will include a balanced representation reflecting a range of interests and views. 125 B 150 participants representing governments and other interested parties are anticipated.

Languages

The working language of the meeting and background documents will be English. Spanish interpretation will be available for plenary sessions. Arrangements for French interpretation are being explored.

Report

The meeting will prepare a report, including conclusions and recommendations for consideration by the IFF at its third session, available in English, French and Spanish.

ANNEX 2

International Experts Meeting on Protected Forest Areas
Meeting Agenda

Monday, 15 March

9:00 Plenary Session
Room. Ponce B
Opening Remarks
Co-chairs:
Braulio Dias, Brazil
Elizabeth Estill, USA

9:20 Welcome
Daniel Pagan, Secretary
Department of Natural Resources, Puerto Rico
Ariel Lugo, Director
Internatl Institute of Tropical Forestry

9:50 Connections to IFF
Jag Maini, Secretary, IFF

10:10 Keynote Address
Jeff Sayer, CIFOR

10:30 Keynote Address
Thomas Lovejoy, World Bank

10:50 Coffee break

11:15 Overview of Procedures of Work of the Intersessional
Co-chairs:
Braulio Dias, Elizabeth Estill

12:00 Lunch (no host)

1:30 Panel — Protecting Forest Areas: Diverse Benefits, Multiple Mechanisms
Background Paper —
Adrian Phillips, IUCN
Australian Paper —
Peter Kanowski, Australia
Biodiversity —
Jeff McNeely, IUCN
Cultural --
Kamla Chowdhry, India
Business —
Mauricio Reis, Brazil
Neil Sampson, USA
Watershed —
Su Ming, P. R. China

3:30 Coffee Break
3:45 Discussion of Panel Presentations

5:00 Panel — Presentation of Background Papers
Classification Systems --
Jack Waide, USA
Management Effectiveness --
Tony Whitten, World Bank
Economic Viability --
Olatz Cases, Brazil
Criteria for Establishment --
José Maria Cardoso do Silva, Brazil

5:45 Adjourn

6:00 - 8:00 Cocktail Reception
Site: Laguna Poolside
Hosted by AF&PA

Tuesday, 16 March

9:00 Working Group Deliberations

1a: Classification Systems — Improving Compatibility
Chair: Juan Carlos Riascos, Colombia
Rapporteur: Mike Dudley, UK
Panel: Adrian Phillips, IUCN
Clayton Hall, Guyana
Ken Thelen, FAO
Room: Ponce A

2a: Economic Viability — Bearing the Costs and Sharing the Benefits
Chair: Catherine Potter, Australia
Rapporteur: Bernard Chevalier, France
Panel: Neil Sampson, USA
Lee Thomas, Australia
Room: Ponce C

12:00 Lunch (no host)

2:00 Working Group Deliberations

1b: Criteria for Establishment of Protected Areas — Meeting Diverse Needs
Chair: Effendy Sumardja, Indonesia
Rapporteur: Kishore Rao, India

Panel: Lester Seri, Papua New Guinea
Kazimriez Rykowski, Poland
Laura Arriaga, Mexico
Room: Ponce A

2b: Management Effectiveness — Ways and Means for Meeting Designated Objectives
Chair: Alberto Salas, Costa Rica
Rapporteur: Bernardo Zentilli, Chile
Panel: Mark Poffenberger, USA
Hermes Justiniano, Bolivia
Gunter Walkner, Austria
Room: Ponce C

5:00 - 8:00 Poster Session
Room: Foyer

Wednesday, 17 March

9:00 Continuation of Working Group Deliberations

1a: Classification Systems — Improving Compatibility
Room: Ponce A

2a: Economic Viability — Bearing the Costs and Sharing the Benefits
Room: Ponce C

12:00 Lunch (no host)

1:00 Working Group Deliberations

1b: Criteria for Establishment of Protected Areas — Meeting Diverse Needs
Room: Ponce A

2b: Management Effectiveness — Ways and Means for Meeting Designated Objectives
Room: Ponce C

4:30 Plenary Session
Room: Ponce B
Oral Summaries by Chairs of the Working Groups

7:00 Intersessional Dinner
Room: Las Palmas, main area pool
Hosted by AF&PA

Thursday, 18 March

7:30 Field Trip:

Caribbean National Forest
El Portal Tropical Forest Center

Las Cabezas de San Juan Reserve
Fajardo

5:30 Return to Hotel

Friday, 19 March

8:00 Plenary Session
Room: Ponce B
Overview and Discussion of Working Group Draft Conclusions and Recommendations

11:00 Brazil/US Co-chairs review plenary input with Working Group Chairs to finalize recommendations and report

12:30 Lunch (no host)

3:00 Plenary
Room: Ponce B
Presentation of report and recommendations for transmittal to IFF

5:00 Adjourn

This intersessional could not have taken place without the generous support of the following sponsors:

World Bank/WWF Alliance for Forest Conservation and Sustainable Use

American Forest & Paper Association

US Agency for International Development

US Bureau of Land Management

USDA Forest Service

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